

2621

**TRANSMITTAL**

**PATENT**

Application No.: 09/800.831  
Filing Date: March 6, 2001  
First Named Inventor: Edward L. Schwartz  
Examiner's Name: Sherali, Ishrat I.  
Art Unit: 2621  
Attorney Docket No.: 74451.P127D3

- ☐ An Amendment After Final Action (37 CFR 1.116) is attached and applicant(s) request expedited action.
- ☒ Charge any fee not covered by any check submitted to Deposit Account No. 02-2666.
- ☒ Applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 CFR 1.16 and 1.17, for any concurrent or future reply to Deposit Account No. 02-2666.
- ☐ Applicant(s) claim small entity status (37 CFR 1.27).

**ATTACHMENTS**

- ☐ Preliminary Amendment
- ☐ Amendment/Response with respect to Office Action
- ☐ Amendment/Response After Final Action (37 CFR 1.116) (reminder: consider filing a Notice of Appeal)
- ☐ Notice of Appeal
- ☐ RCE (Request for Continued Examination)
- ☐ Supplemental Declaration
- ☐ Terminal Disclaimer (reminder: if executed by an attorney, the attorney must be properly of record)
- ☒ Information Disclosure Statement (IDS)
- ☒ Copies of IDS citations
- ☐ Petition for Extension of Time
- ☒ Fee Transmittal Document (that includes a fee calculation based on the type and number of claims)
- ☐ Cross-Reference to Related Application(s)
- ☐ Certified Copy of Priority Document
- ☐ Other: \_\_\_\_\_
- ☐ Other: \_\_\_\_\_
- ☒ Check(s)
- ☒ Postcard (Return Receipt)

**SUBMITTED BY:**

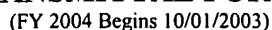
BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
TYPED OR PRINTED NAME: Michael J. Mallie, Reg. No. 36,591

SIGNATURE: [Signature] DATE: 8/31/04  
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Los Angeles, California 90025  
TELEPHONE NO.: (408) 720-8300

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (if applicable)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria Virginia 22313-1450

on August 31, 2004 Date of Deposit  
Claire Wallters  
Claire Wallters Name of Person Mailing Correspondence  
Signature Date 8/31/2004



**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| <u>Large Entity</u>       |                 | <u>Small Entity</u> |                 | <u>Fee Description</u>   | <u>Fee Paid</u> |
|---------------------------|-----------------|---------------------|-----------------|--|-----------------|
| <u>Code</u>               | <u>Fee (\$)</u> | <u>Code</u>         | <u>Fee (\$)</u> |  |                 |
| 1051                      | 130             | 2051                | 65              | Surcharge - late filing fee or oath  |                 |
| 1052                      | 50              | 2052                | 25              | Surcharge - late provisional filing fee or cover sheet                     |                 |
| 1053                      | 130             | 1053                | 130             | Non-English specification  |                 |
| 1812                      | 2,520           | 1812                | 2,520           | For filing a request for ex parte reexamination                            |                 |
| 1813                      | 8,800           | 1813                | 8,800           | Request for inter parties reexamination                                    |                 |
| 1804                      | 920*            | 1804                | 920*            | Requesting publication of SIR prior to Examiner action                     |                 |
| 1805                      | 1,840*          | 1805                | 1,840*          | Requesting publication of SIR after Examiner action                        |                 |
| 1251                      | 110             | 2251                | 55              | Extension for reply within first month                                     |                 |
| 1252                      | 420             | 2252                | 210             | Extension for reply within second month                                    |                 |
| 1253                      | 950             | 2253                | 475             | Extension for reply within third month                                     |                 |
| 1254                      | 1,480           | 2254                | 740             | Extension for reply within fourth month                                    |                 |
| 1255                      | 2,010           | 2255                | 1,005           | Extension for reply within fifth month                                     |                 |
| 1401                      | 330             | 2401                | 165             | Notice of Appeal   |                 |
| 1402                      | 330             | 2402                | 165             | Filing a brief in support of an appeal                                     |                 |
| 1403                      | 290             | 2403                | 145             | Request for oral hearing   |                 |
| 1451                      | 1,510           | 1451                | 1,510           | Petition to institute a public use proceeding                              |                 |
| 1452                      | 110             | 2452                | 55              | Petition to revive - unavoidable   |                 |
| 1453                      | 1,330           | 2453                | 665             | Petition to revive - unintentional   |                 |
| 1501                      | 1,330           | 2501                | 665             | Utility issue fee (or reissue)   |                 |
| 1502                      | 480             | 2502                | 240             | Design issue fee   |                 |
| 1503                      | 640             | 2503                | 320             | Plant issue fee  |                 |
| 1460                      | 130             | 1460                | 130             | Petitions to the Commissioner  |                 |
| 1807                      | 50              | 1807                | 50              | Processing fee under 37 CFR 1.17(q)  |                 |
| 1806                      | 180             | 1806                | 180             | Submission of Information Disclosure Stmt                                  | 180.00          |
| 8021                      | 40              | 8021                | 40              | Recording each patent assignment per property (times number of properties) |                 |
| 1809                      | 770             | 2809                | 385             | For filing a submission after final rejection (see 37 CFR 1.129(a))        |                 |
| 1814                      | 110             | 2814                | 55              | Statutory Disclaimer   |                 |
| 1810                      | 770             | 2810                | 385             | For each additional invention to be examined (see 37 CFR 1.129(b))         |                 |
| 1801                      | 770             | 2801                | 385             | Request for Continued Examination (RCE)                                    |                 |
| 1802                      | 900             | 1802                | 900             | Request for expedited examination of a design application                  |                 |
| 1504                      | 300             | 1504                | 300             | Publication fee for early, voluntary, or normal pub.                       |                 |
| 1505                      | 300             | 1505                | 300             | Publication fee for republication  |                 |
| 1803                      | 130             | 1803                | 130             | Request for voluntary publication or republication                         |                 |
| 1808                      | 130             | 1808                | 130             | Processing fee under 37 CFR 1.17(i) (except provisionals)                  |                 |
| 1454                      | 1,330           | 1454                | 1,330           | Acceptance of unintentionally delayed claim for priority                   |                 |
| Other fee (specify) _____ |                 |                     |                 |  |                 |
| Other fee (specify) _____ |                 |                     |                 |  |                 |
| <b>SUBTOTAL (3) \$</b>    |                 |                     |                 |  | <b>180.00</b>   |

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Michael J. Mallie

Signature: \_\_\_\_\_

Date: 8/31/04Reg. Number: 36,591Telephone Number: (408) 720-8300

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



Attorney's Docket No. 74451.P127D3

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Edward L. Schwartz

Application No.: 09/800,831

Filed: March 6, 2001

For: METHOD AND APPARATUS FOR  
SELECTING LAYERS FOR QUANTIZATION  
BASED ON SIDEBAND INFORMATION

Mail Stop Amendment

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

Examiner: Sherali, Ishrat I.

Art Unit: 2621

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 or PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search

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(Date of Deposit)

Claire Wallters

(Typed or printed name of person mailing correspondence)

Claire Wallters 8/31/2004

(Signature of person mailing correspondence)

09/02/2004 MBLAND 00000005 09800831

01 FC:1806

180.00 OP

has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

\_\_\_\_\_ 37 C.F.R. §1.97(b).

  X   37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

\_\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e) or

  X   A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

\_\_\_\_\_ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:


- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
- (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 8/31, 2004

  
\_\_\_\_\_  
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|   |   |      |                          |                    |
|---|---|------|--------------------------|--------------------|
| Substitute for Form 1449/PTO<br><b>INFORMATION DISCLOSURE</b><br><b>STATEMENT BY APPLICANT</b><br>(use as many sheets as necessary) |   |      | <b>Complete if Known</b> |                    |
|   |   |      | Application Number       | 09/800,831         |
|   |   |      | Filing Date              | March 6, 2001      |
|   |   |      | First Named Inventor:    | Edward L. Schwartz |
|   |   |      | Art Unit                 | 2621               |
|   |   |      | Examiner Name            | Sherali, Ishrat I. |
|   |   |      | Attorney Docket Number   | 74451.P127D3       |
| Sheet   | 1 | of 2 |                          |                    |

### U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                          |                 | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|--|-----------------|--------------------------------|--|--|
|                    |                       | Number-Kind Code <sup>2</sup> (if known) |                 |                                |  |  |
|                    |                       | us-                                      | 2001/0003544 A1 | 06-14-2001                     | Kajiwara et al.                                    |  |
|                    |                       | us-                                      | 5,303,200       | 04-12-1994                     | Elrod et al.                                       |  |
|                    |                       | us-                                      | 5,600,373       | 02-04-1997                     | Chui et al.  |  |
|                    |                       | us-                                      | 5,999,634       | 12-07-1999                     | Abbott et al.                                      |  |
|                    |                       | us-                                      | 6,005,901       | 12-21-1999                     | Linz   |  |
|                    |                       | us-                                      | 6,031,940       | 02-29-2000                     | Chui et al.  |  |
|                    |                       | us-                                      | 6,088,395       | 07-11-2000                     | Wang et al.  |  |
|                    |                       | us-                                      | 6,266,450 B1    | 07-24-2001                     | Yip et al.   |  |
|                    |                       | us-                                      | 6,275,531 B1    | 08-14-2001                     | Li   |  |
|                    |                       | us-                                      | 6,332,043 B1    | 12-18-2001                     | Ogata  |  |
|                    |                       | us-                                      | 6,442,302 B2    | 08-27-2002                     | Klassen  |  |
|                    |                       | us-                                      | 6,486,981 B1    | 11-26-2002                     | Shimura et al.                                     |  |
|                    |                       | us-                                      | 6,492,916 B1    | 12-10-2002                     | Schwartz et al.                                    |  |
|                    |                       | us-                                      | 6,549,673 B1    | 04-15-2003                     | Ammicht et al.                                     |  |
|                    |                       | us-                                      | 6,606,416 B1    | 08-12-2003                     | Yip et al.   |  |
|                    |                       | us-                                      | 6,658,159 B1    | 12-02-2003                     | Taubman  |  |

### FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   |                     |                                      | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>6</sup> |
|--------------------|-----------------------|---------------------------|---------------------|--------------------------------------|--------------------------------|--|---|----------------|
|                    |                       | Country Code <sup>3</sup> | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(if known) |                                |  |   |                |
|                    |                       |                           |                     |                                      |                                |  |   |                |
|                    |                       |                           |                     |                                      |                                |  |   |                |
|                    |                       |                           |                     |                                      |                                |  |   |                |
|                    |                       |                           |                     |                                      |                                |  |   |                |
|                    |                       |                           |                     |                                      |                                |  |   |                |
|                    |                       |                           |                     |                                      |                                |  |   |                |

|                    |  |                 |  |
|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS.  
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| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|